PROVINCIAL ARCHIVES OF SASKATCHEWAN

Provincial Archives of Saskatchewan
Accreditation for Executive Government,
Agencies, Boards and Commissions

1. What is Accreditation?

Accreditation is a process that allows Government Institutions, with fully developed records management programs, to more efficiently dispose of inactive records. Following accreditation, an institution can request an appraisal review of or destroy records based on information included in an applicable retention schedule, without submitting a request for disposal to the Provincial Archives of Saskatchewan.

Once the accreditation criteria have been met, the Archives will provide the institution with a copy of the Administrative Records Management System 2014 (ARMS2014), as well as an institution-specific Operational Records System (ORS), that contain Final Disposition information. Records that are designated 'Appraise' require review by an Appraisal Archivist to determine if they are of historical value and should be preserved in the Provincial Archives of Saskatchewan's Permanent Collection. Records designated 'Destroy' will not require an appraisal before their disposition. An accredited government institution will be able to dispose of any records marked 'Destroy' without submitting a disposal request to the Archives, in accordance with the established accreditation disposal procedures outlined in section 3 of this document. The costs associated with disposal request reviews (records management compliance review and historical appraisal) will not be incurred. A preservation fee will be applied when records are acquired by the Archives.
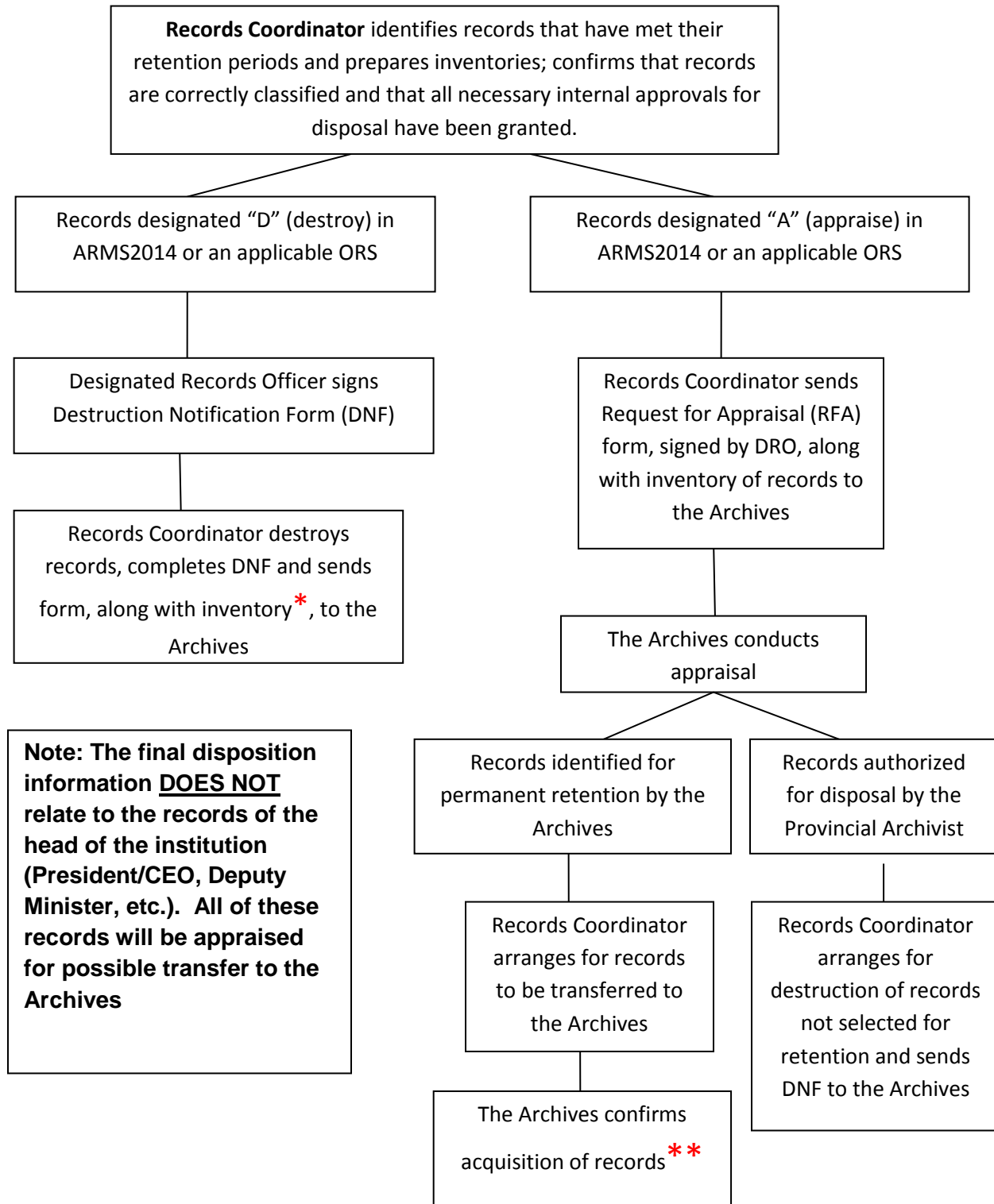
2. What are the Criteria for Accreditation?

Before an institution can be accredited it must:

- Appoint a Records Coordinator/Manager to oversee the institution's records management program

- Appoint a Designated Records Officer (DRO), who will be responsible for signing off on the disposal of all records. DROs are appointed by the institution's Deputy Minister/CEO and must be an individual in a senior management position

- Develop an institution-wide ORS in the required format approved by the Public Records Committee

- Implement the institution-wide ORS and ARMS2014
  - Have an audit completed by the Information Management Unit
  - Train staff in the use of ORS and ARMS2014

- Classify all records, including digital records (i.e. email and data managed by databases), in accordance with ARMS2014 and ORS

- Establish records management policies and procedures (to be reviewed by the Archives) including:
    - Written records management accountability structure and statements
    - Source document disposal policy and procedures *if* your institution scans/images records and designates the imaged documents as your official record
    - Filing management procedures (i.e. file naming conventions and year-end file maintenance, etc.)
    - Procedures and policies for the management of digital records (including e-mails) which ensure that official records are managed in a manner that guarantees their integrity and authenticity, including:
        - migration strategy for digital records and systems with long-term retentions
        - methods used in managing digital records (EDRMS, electronic file directory or print and file policy), etc.
    - Internal procedures for disposal of both official and transitory records

- Establish procedures to ensure that once records are no longer needed for active use, they are inventoried and classified in accordance with an applicable retention schedule. Accessible and complete, up-to-date documentation/information concerning the semi-active records must be retained, including:
    - location of records,
    - transfer number for offsite storage
    - file types
    - software environments
    - hardware requirements
    - migration strategy for semi-active digital records

- Establish, write and implement security procedures for paper and electronic records

3. The Final Disposition Process for Executive Government, Agencies, Boards and Commissions

Records Coordinator identifies records that have met their retention periods and prepares inventories; confirms that records are correctly classified and that all necessary internal approvals for disposal have been granted.

Records designated "D" (destroy) in ARMS2014 or an applicable ORS

Records designated "A" (appraise) in ARMS2014 or an applicable ORS

Designated Records Officer signs Destruction Notification Form (DNF)

Records Coordinator sends Request for Appraisal (RFA) form, signed by DRO, along with inventory of records to the Archives

Records Coordinator destroys records, completes DNF and sends form, along with inventory*, to the Archives

The Archives conducts appraisal

Records identified for permanent retention by the Archives

Records authorized for disposal by the Provincial Archivist

Note: The final disposition information DOES NOT relate to the records of the head of the institution (President/CEO, Deputy Minister, etc.). All of these records will be appraised for possible transfer to the Archives

Records Coordinator arranges for records to be transferred to the Archives

Records Coordinator arranges for destruction of records not selected for retention and sends DNF to the Archives

The Archives confirms acquisition of records**

*This inventory will be used for audit purposes by the Archives. The agency is responsible for retaining a copy of the inventory as well as records that document destruction of the material, so that this may be used to respond in the event that FOI requests or legal action demand that the records be produced. The destruction information should contain the following information: date of destruction, where destruction took place, who witnessed it and the method of destruction.

NOTE: Government Institutions using external shredding or recycling services should follow their agency's policies with respect to the provisions of The Freedom of Information and Protection of Privacy Act (FOIPP), The Health Information Protection Act (HIPA) and any other legislation governing information access and privacy.

** A preservation fee will be applied when records are acquired by the Archives.